

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

Bayer 10271-WCG

First Inventor

Dr. Klaus KAISER et al

Title

APPARATUS AND PROCESS FOR STERILIZ...

Express Mail Label

EV 383033475 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Mail Stop Patent Application  
Commissioner for Patents  
P. O. Box 1450  
Alexandria VA 22313-1450

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17)
- 
- (Submit an original, and a duplicate for fee processing)

- 2.
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27.

- 3.
- ☒
- Specification [Total Pages
- 20**
- ]
- 
- (preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure

- 4.
- ☒
- Drawing(s) (35 U.S.C. 113) [Total Sheets
- 9**
- ]

5. Oath or Declaration [Total Pages **1**]

- a.
- ☐
- Newly executed (original or copy)
- 
- b.
- ☐
- Copy from a prior application (37 CFR 1.63(d))
- 
- (for continuation/divisional with Box 18 completed)
- 
- i.
- ☐
- DELETION OF INVENTOR(S)**
- 
- Signed statement attached deleting inventor(s)
- 
- named in the prior application, see 37 CFR
- 
- 1.63(d)(2) and 1.33(b).

- 6.
- ☒
- Application Data Sheet. See 37 CFR 1.76

- 7.
- ☐
- CD-ROM or CD-R in duplicate, large table or
- 
- Computer Program (Appendix)
- 
8. Nucleotide and/or Amino Acid Sequence Submission
- 
- (if applicable, all necessary)

- a.
- ☐
- Computer Readable Form (CRF)
- 
- b. Specification Sequence Listing on:
- 
- i.
- ☐
- CD-ROM or CD-R (2 copies); or
- 
- ii.
- ☐
- Paper
- 
- c.
- ☐
- Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- 9.
- ☐
- Assignment Papers (cover sheet & document(s))
- 
- 10.
- ☐
- 37 CFR 3.73(b) Statement
- ☐
- Power of Attorney
- 
- (when there is an assignee)
- 
- 11.
- ☐
- English Translation Document (if applicable)
- 
- 12.
- ☒
- Information Disclosure Statement (IDS)/PTO-1449
- ☒
- Copies of IDS
- 
- Citations
- 
- 13.
- ☒
- Preliminary Amendment
- 
- 14.
- ☒
- Return Receipt Postcard (MPEP 503)
- 
- (Should be specifically itemized)
- 
- 15.
- ☒
- Certified Copy of Priority Document(s)
- 
- (if foreign priority is claimed)
- 
- 16.
- ☐
- Nonpublication Request under 35 U.S.C. 122
- 
- (b)(2)(B)(i). Applicant must attach form PTO/SB/35
- 
- or its equivalent.
- 
- 17.
- ☒
- Other: Letter to the Official Draftsperson
- 
- Express Mail Certificate

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by  
reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**

Customer Number:

27386

or ☐ Correspondence address below

Name	William C. Gerstenzang				
	Norris McLaughlin & Marcus				
Address	220 East 42nd Street				
	30th Floor				
City	New York	State	NY	Zip Code	10017
Country	USA	Telephone	212-808-0700	Fax	212-808-0844

Name (Print/Type)

William C. Gerstenzang

Registration No. (Attorney/Agent)

27,552

Signature

Date

March 15, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**FEE TRANSMITTAL  
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$)** **\$1,312.00****Complete if Known**

Application Number	TBA
Filing Date	Herewith
First Named Inventor	Dr. Klaus KAISER
Examiner Name	TBA
Art Unit	TBA
Attorney Docket No.	Bayer 10271-WCG

**METHOD OF PAYMENT** (check all that apply)
☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:Deposit  
Account  
Number

14-1263

Deposit  
Account  
Name

Norris McLaughlin &amp; Marcus

The Director is authorized to:

(check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	770.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

**2. EXTRA CLAIM FEES FOR UTILITY AND**

Extra Claims		Fee from below		Fee Paid
Total Claims				
34	-20** =	14	X 18.00 =	252.00
Independent Claims	3 - 3** =	0	X	0.00
Multiple Dependent			290.00 =	290.00

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

\*\*or number previously paid, if greater; For Reissues, see above

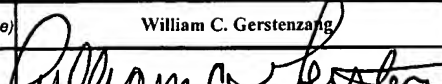
**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non - English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR § 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Statement	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)**SUBMITTED BY**

Name (Print/Type)	William C. Gerstenzang	Registration No. (Attorney/Agent)	27,552	Telephone	212-808-0800
Signature		Date	March 15, 2004		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on**

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Express Mail Label No. EV 383033475 US  
Date of Deposit March 15, 2004

Bayer 10271-WCG

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Dr. Klaus KAISER et al  
Serial No. : To be assigned  
Filed : Herewith  
For : APPARATUS AND PROCESS FOR STERILIZATION  
OF LIQUID MEDIA BY MEANS OF UV IRRADIATION  
AND SHORT-TIME HEAT TREATMENT  
Art Unit : To be assigned  
Examiner : To be assigned

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March 15, 2004

MAIL STOP PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

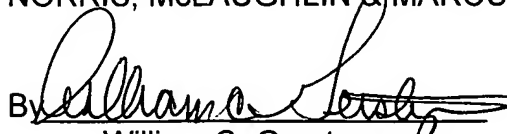
LETTER TO THE OFFICIAL DRAFTSMAN

Submitted herewith for entry and approval are nine (9) sheets of formal drawings (FIGS. 1a, 1b, 2, 3, 3a, 3b, 3c, 4, 4a, 5, 5a, 5b, 5c, 6, 7) in the above-referenced application.

Respectfully submitted,

NORRIS, McLAUGHLIN & MARCUS, P.A.

By



William C. Gerstenzang  
Reg. No. 27,552

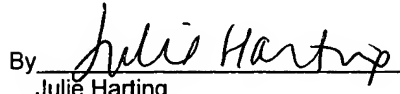
WCG/jh

Enc. - Formal Drawings (9 sheets)

220 East 42<sup>nd</sup> Street  
30<sup>th</sup> Floor  
New York, New York 10017  
Phone: (212) 808-0700  
Fax: (212) 808-0844

I hereby certify that this correspondence is being deposited with sufficient postage with the United States Postal Services as Express Mail, Label No. EV 383033475 US in an envelope addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on March 15, 2004

By



Julie Harting

Date March 15, 2004

Bayer 10271-WCG

APPLICANTS: Dr. Klaus KAISER et al

TITLE: APPARATUS AND PROCESS FOR STERILIZATION OF LIQUID MEDIA  
BY MEANS OF UV IRRADIATION AND SHORT-TIME HEAT  
TREATMENT

**EXPRESS MAIL CERTIFICATE**

"Express Mail" mailing label number EV 383033475 US

Date of Deposit : March 15, 2004

I hereby certify that the following items:

1. Fee Transmittal form (in duplicate)
2. Utility Patent Application Transmittal
3. Specification (pages 1-14), Claims (pages 1-19), Abstract (p. 20)
4. Preliminary Amendment
5. Transmittal of Priority Document
6. certified copy of DE 103 12 765.8
7. Information Disclosure Statement, form 1449
8. Letter to the Official Draftsperson w/ 9 sheets formal drawings
9. Application Data Sheet
10. Certificate of Mailing by Express Mail
11. Self-Addressed Postcard

are being deposited with the United States Postal Services "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the: MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By  \_\_\_\_\_  
Julie Harting